

## **BID SOLICITATION NOTICE**

TO RECEIVE A BID PACKAGE, BIDDERS MAY EITHER DOWNLOAD THE REQUEST FOR BID ("RFB") FROM THE AUTHORITY'S WEBSITE AT <http://www.state.nj.us/turnpike/purchasing.html> OR REQUEST A BID BY COMPLETING THIS FORM AND FAXING IT TO THE NUMBER STATED BELOW. FOR RECORD KEEPING PURPOSES, THE AUTHORITY REQUESTS THAT THE BIDDER COMPLETE THIS FORM AND RETURN IT TO THE PROCUREMENT AND MATERIALS MANAGEMENT DEPARTMENT, EVEN WHEN A BIDDER IS DOWNLOADING THE RFB. THIS IS THE ONLY NOTICE OF BIDDING FOR THE FOLLOWING GOODS.

### **THE NEW JERSEY TURNPIKE AUTHORITY PROCUREMENT AND MATERIALS MANAGEMENT DEPARTMENT**

New Jersey Turnpike Administrative Offices  
P.O. Box 5042  
581 Main Street  
Woodbridge, New Jersey 07095-5042  
Tel. - 732-750-5300 Ext. 8640 Fax - 732-750-5399

TITLE: Replacement Broker Dealer for the Series 2000 E-G Bonds

BID NO: RM-112936

DUE DATE: January 8, 2015

TIME: 2:00 P.M. Eastern Time

**SUBMIT BIDS BEFORE THE DUE DATE AND TIME STATED ABOVE TO THE ABOVE ADDRESS**

#### **BIDDER INFORMATION (PLEASE PRINT)**

\_\_\_\_\_  
NAME OF BIDDING ENTITY

\_\_\_\_\_  
ADDRESS

\_\_\_\_\_  
CITY, STATE AND ZIP CODE

\_\_\_\_\_  
E-MAIL ADDRESS

\_\_\_\_\_  
REPRESENTATIVE TO CONTACT-NAME & TITLE

\_\_\_\_\_  
TELEPHONE NO.

\_\_\_\_\_  
FEDERAL TAX I.D. NO. or TAXPAYER I.D. NO.

\_\_\_\_\_  
FAX NO

☐ **WE HAVE DOWNLOADED THE BID FROM THE AUTHORITY WEBSITE**

**THE NEW JERSEY TURNPIKE AUTHORITY**  
**PROCUREMENT AND MATERIALS MANAGEMENT DEPARTMENT**

New Jersey Turnpike Administrative Offices  
P.O. Box 5042  
581 Main Street  
Woodbridge, New Jersey 07095-5042  
Tel. - 732-750-5300 Fax - 732-750-5399

**REQUEST FOR BID**

TITLE: **REPLACEMENT BROKER DEALER FOR THE SERIES 2000 E-G BONDS**

BID NO: RM-112936

DUE DATE: January 8, 2015

TIME: 2:00 P.M. Eastern Time

**SUBMIT BIDS BEFORE THE DUE DATE AND TIME STATED ABOVE TO THE ABOVE ADDRESS**

**BIDDER INFORMATION**  
**(TO BE COMPLETED BY THE BIDDER)**

Please Print

\_\_\_\_\_  
NAME OF BIDDING ENTITY

\_\_\_\_\_  
ADDRESS

\_\_\_\_\_  
CITY, STATE AND ZIP CODE

\_\_\_\_\_  
E-MAIL ADDRESS

\_\_\_\_\_  
REPRESENTATIVE TO CONTACT-NAME & TITLE

\_\_\_\_\_  
TELEPHONE NO.

\_\_\_\_\_  
FEDERAL TAX I.D. NO. or TAXPAYER I.D. NO.

\_\_\_\_\_  
FAX NO

\_\_\_\_\_  
BUSINESS CORPORATION \_\_\_\_\_ PARTNERSHIP \_\_\_\_\_ INDIVIDUAL

\_\_\_\_\_  
OTHER (SPECIFY) \_\_\_\_\_

## SECTION I

### A. INTRODUCTION

The New Jersey Turnpike Authority (the “Authority”) was created by an act of the New Jersey Legislature in 1948, known as the New Jersey Turnpike Authority Act (as amended and supplemented, “Act”). The Act authorizes the Authority to construct, maintain, repair, and operate the New Jersey Turnpike, to collect tolls, and to issue Turnpike Revenue Bonds or Notes, subject to the approval of the Governor, payable from tolls and other revenues of the Authority. On May 27, 2003, the Act was amended to empower the Authority to assume all powers, rights, obligations and duties of the New Jersey Highway Authority (the “Highway Authority”), which owned and operated the Garden State Parkway and PNC Bank Arts Center. On July 9, 2003, the Authority assumed all powers, rights, obligations and duties of the Highway Authority. The Authority currently operates both the Garden State Parkway (“GSP”) and the New Jersey Turnpike (“Turnpike”) (both roads are collectively referred to herein as the “Roadways”).

The Authority is governed by an eight member Board of Commissioners (“Board”). The Governor of New Jersey appoints each of its members and has the statutory authority to overturn an action of the Board by vetoing any Board action within 10 days of receiving the minutes of the meeting. The Board authorizes awards of all public contracts over \$35,000, except in cases where it has delegated authority to the Executive Director.

This bid solicitation is being conducted pursuant to the Authority’s enabling statute as found in *N.J.S.A. 27.23-6.1* and Executive Order number 37 (Corzine 2006) and the regulations and policies of the Authority with regard to public bid procurement.

## **B. BIDDER GUIDELINES/CHECKLIST**

### **BIDS THAT FAIL TO CONFORM TO THE FOLLOWING REQUIREMENTS MAY BE REJECTED:**

1. The Request of Bid ("RFB"), including specifications and related bid documents ("Bids") must be received at or before the due date and time stated on the cover page at the following place: New Jersey Turnpike Authority, Administration Building, 581 Main Street, Woodbridge, New Jersey 07095. Late Bids will be returned unopened. Telephone or facsimile Bids will not be accepted.
2. **The entity submitting a Bid ("Bidder") must provide one original and one copy of the Bid.** The Bid must include all price information. Bid prices shall include delivery of all items F.O.B. destination or as otherwise provided. Price quotes must be firm through issuance of contract.
3. All Bid prices must be typed or written in ink. .
4. All corrections, white-outs, erasures, re-striking of type, or other forms of alteration or the appearance of alteration, to unit and/or total prices must be initialed in ink by the Bidder.
5. **Code of Ethics:** Bidders are advised that the Authority has adopted the New Jersey Uniform Code of Ethics, a copy of which can be viewed by going to the following web site: <http://nj.gov/ethics/docs/ethics/uniformcode.pdf> By submitting a bid, bidders agree to be subject to the intent and purpose of said Code and to the requirements of the New Jersey State Ethics Commission.
6. If checked this RFB requires the following mandatory document must accompany the Bid or it **will** be rejected:

Stockholder/Partnership Disclosure Statement (Exhibit A)

☒

7. **The following checked document is required for this Bid. Failure to submit the required forms may result in the rejection of the Bid.**

State of New Jersey Division of Revenue Business Registration Certificate

☒

**DIVISION OF REVENUE REGISTRATION**-Pursuant to the terms of N.J.S.A. 52:32-44, bidders are required to submit to the Authority proof of valid business registration with the New Jersey Division of Revenue in the Department of Treasury, prior to entering into a contract with the Authority. No contract shall be entered into by the Authority unless the bidder first provides proof of valid business registration. In addition, bidders are required to provide to the Authority proof of valid business registration with the Division of Revenue for any and all subcontractors that will be used to provide goods or services under the contract. A copy of the bidder's and any subcontractor's valid Certificate of Registration should be included with the bid submission and must be in effect prior to the contract award.

All questions regarding this requirement should be referred to the Division of Revenue hotline at (609)-292-9292 or/online: <http://www.nj.gov/treasury/revenue/forms/njreg.pdf>

- (a) Certification of Registration with the Secretary of State (only if non-NJ corporation)

☒

**FOREIGN CORPORATION**-If applicable, the bidder shall register as a "Foreign Corporation" with the Secretary of the State of New Jersey, designating a resident agent for the service of process. Written proof of such registration must be included with the bid submission.

- (b) Acknowledgement of requirement for Disclosure of Political Contributions (ELEC) (Exhibit B)

☒

- (c) Affirmative Action Information Sheet with Certificate or Form AA302 (Exhibit C)

☒

- (d) Signed Mandatory Equal Employment Opportunity Language (Exhibit D)

☒

- (e) SBE/WBE/MBE Certificates and Form (Exhibit E)

☒

- (f) Notice of Set-Off for State Tax (P.L. 1999, c 159) (Exhibit F)

☒

- (g) Disclosure of Investment Activities in Iran (Exhibit G)

☒

8. Bidder must sign Bid (Page 7)

☒

## **SECTION II**

## **A. INTENTION**

1. Sealed Bids for RM-112936 must be received at the New Jersey Turnpike Authority Administrative Offices, 581 Main Street, Woodbridge, New Jersey 07095-5042, by the due date and time stated on the cover page of this RFB at which time and place said Bid will be opened and read in public.
2. Bidders mailing Bids should allow for their normal mail delivery time to ensure timely receipt of the Public Bids. **Please be advised that using an overnight/next-day delivery service does not guarantee overnight/next-day deliveries to our location. The Authority will not be responsible for any Bid not being received by the required date and time.**
3. It is the intention of the Authority to issue a purchase order or notice of award for a price agreement for the procurement of replacement broker dealer for the Series 2000 E-G Bonds.
4. Please contact Andrea Ward with any questions regarding this procurement contract at 732-750-5300 Ex. 8626 or ward@turnpike.state.nj.us.

## **B. BID SHEET INSTRUCTIONS**

1. This solicitation is being conducted pursuant to *NJSA 27:23-6.1*, *NJAC 19:9-2.1 et seq.*, and the Authority's Instructions to Bidders which provide the applicable terms and conditions for the resulting contract. (See attached Instructions to Bidders available online at: <http://www.state.nj.us/turnpike/purchasing.html>.)
2. Bidders must follow all instructions in this RFB and in the Instructions to Bidders issued by the Authority, and any other documents issued by the Authority in connection with this RFB (collectively, "Bid Documents").
3. Bidders must examine the bid documents carefully before bidding and must ask the Director of Procurement and Materials Management Department ("PMM") in writing for any interpretation or correction of any apparent ambiguity, inconsistency or apparent error therein. If necessary, an interpretation or correction to the specifications shall be issued by the Director of PMM in response to inquiries and/or addendum shall be faxed to Bidders who have obtained the Bid Documents. Upon the issuing of an addendum, the addendum shall become part of the bid documents. **Requests for interpretation or correction shall be considered only if received at least 3 business days prior to the Bid opening date.** Written requests can be submitted by FAX at 732-750-5399.
4. The submission of the Bid is conclusive evidence that the Bidder is fully aware of the conditions, requirements, and details as stated in the Bid Documents. If the Bidder, prior to submitting its Bid, fails to notify the Director of PMM of the existence of an ambiguity or inconsistency in the Bid Documents, a Bid will conclusively be presumed to have been based upon the Authority's interpretation of such ambiguity or inconsistency.

5. All erasures, interpolations or other physical changes on the Bid form shall be signed or initialed by the Bidder. Bids containing any conditions, omissions, erasures, alterations, or items not called for in this “RFB” or irregularities of any kind, may be rejected by the Authority, in its sole discretion.

The Bidder shall not attach conditions, limitations or provisos to their Bid, except in cases where “exceptions” are permitted.

### **C. BASIS OF AWARD**

1. **Bidders must supply a price for every item listed. Bids not having a price for all listed items may be rejected.**
2. **Bidders must quote only one price per line item. If a Bidder quotes multiple prices per line item, the Bid may be rejected.**
3. The Authority is exempt from New Jersey Sales and Excise Tax.
4. **Award will be made to the Successful Bidder, which will be the bidder whose proposed “Successful Auction Fee” and “Failed Auction Fee”, when averaged together, plus the counsel fee, if any, to be paid by the Authority, provides the Authority with the lowest cost for broker-dealer services for the Series 2000 E-G Bonds.**

## **BID QUOTATION SHEET**

### **(Per Attached Specifications)**

**\$200,000,000**

### **Turnpike Revenue Bonds, Series 2000 E-G Bonds (Auction Rate Bonds)**

Replacement Broker-Dealer Bid Form

- 
- ITEM 1.** Successful Auction Fee: \_\_\_\_\_% of the principal amount of Series 2000 E-G Bonds.
- ITEM 2.** Failed Auction Fee: \_\_\_\_\_% of the principal amount of Series 2000 E-G Bonds.
- ITEM 3.** Not-to-exceed amount for legal fees and expenses to be paid by the Authority: \$\_\_\_\_\_

### **FOR INFORMATIONAL PURPOSES ONLY**

**(Not Computed in Bid Amount)**

1. Current Auction Rate Portfolio: Number of issues: \_\_\_\_\_  
Total par amount of all issues: \_\_\_\_\_  
Has Bidder resigned as a broker-dealer: \_\_\_\_ Yes \_\_\_\_ No  
Reason for resignation: \_\_\_\_\_  
\_\_\_\_\_
2. Bidder's Most Recent Net Capital Position: \_\_\_\_\_
3. Name of Legal Counsel, if any : \_\_\_\_\_
4. Proposed Changes or Modifications to the Broker-Dealer Agreement: \_\_\_\_ Yes \_\_\_\_ No Note: If "yes" is checked, a blacklined or otherwise marked copy of the Broker-Dealer Agreement which reflects all material insertions, deletions, modifications or other changes required by the bidder must be attached to, or submitted with, this Bid Form.

**ANY INQUIRIES CONCERNING THIS BID MUST BE SENT VIA FAX TO 732-750-5399 NO LATER  
THAN FIVE (5) BUSINESS DAYS BEFORE BID OPENING**

### **NEW JERSEY TURNPIKE AUTHORITY**

\_\_\_\_\_  
Andrea E. Ward  
Director, PMM Department

\_\_\_\_\_  
Name of Company

/ \_\_\_\_\_  
Authorized Signature of Bidder

## **D. SIGNATURE PAGE**

1. **ADDENDA / INQUIRIES:** COMPLETE (if applicable) BEFORE SUBMITTING BID:  
Receipt of Addendum / Inquiries # \_\_\_\_\_ dated \_\_\_\_\_ is hereby acknowledged.  
Receipt of Addendum / Inquiries # \_\_\_\_\_ dated \_\_\_\_\_ is hereby acknowledged.

☐

**CHECK BOX IF NO ADDENDA/INQUIRY ISSUED**

(All Addenda / Inquiries must be acknowledged as indicated above.)

2. **BID IRREVOCABLE:** This offer shall be irrevocable for ninety (90) working days after the date on which the Authority publicly opens this Bid except in those instances where an unsuccessful Bidder has filed a bid protest pursuant to N.J.A.C. 19:9-2.12. Upon notification of a protest, Bidders are required to hold their prices for an additional 90 days. All Bidders will be notified in writing of the action taken by the Authority.
3. **OFFER/CERTIFICATION:** The undersigned offers and agrees to furnish to the New Jersey Turnpike Authority the services and/or materials in compliance with all terms, conditions, specifications and addenda of the RFB, Bid Documents, and resulting contract. The undersigned further certifies understanding and compliance with the requirements of the standard terms and conditions as stated in the Instructions to Bidders included with the Bid Documents. The undersigned certifies that he or she executes this Bid with full authority so to do; and that all statements contained in this Bid and in this certification are true and correct, and made with full knowledge that the Authority relies upon the truth of the statements contained herein and in any statements requested by the Authority showing evidence of qualifications in awarding the contract.

I certify that the foregoing statements made by me are true. I am aware that if any of the foregoing statements made by me are willfully false, I am subject to punishment.

4. **AUTHORIZED SIGNATURE:** \_\_\_\_\_

Print Name and Title: \_\_\_\_\_

Bidder: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

E-mail address \_\_\_\_\_

Telephone #: \_\_\_\_\_ Fax: \_\_\_\_\_

Date: # \_\_\_\_\_

## SPECIFICATIONS

**\$200,000,000**

### **Turnpike Revenue Bonds, Series 2000 E-G Bonds (Auction Rate Bonds)**

Solicitation of Bids for  
Replacement Broker-Dealer

As more fully described herein, the New Jersey Turnpike Authority (the “Authority”) will be accepting bids on Thursday, January 8, 2015 from qualified financial institutions to serve as the replacement Broker-Dealer for its outstanding \$50,000,000 Turnpike Revenue Bonds, Series 2000 E, its outstanding \$50,000,000 Turnpike Revenue Bonds, Series 2000 F, and its outstanding \$100,000,000 Turnpike Revenue Bonds, Series 2000 G (collectively, the “Series 2000 E-G Bonds”). The Series 2000 E-G Bonds were issued by the Authority on April 26, 2000 under and pursuant to the Authority’s Turnpike Revenue Bond Resolution adopted on August 20, 1991, as amended, restated and supplemented from time to time in accordance with its terms (the “Resolution”). The Series 2000 E-G Bonds were initially issued as, and continue to be, auction rate securities that bear interest at the rate determined by the auction procedures set forth in the Resolution. No successful auctions of the Series 2000 E-G Bonds have been conducted in several years and, as a result, the Series 2000 E-G Bonds have been bearing interest at the maximum auction interest rate set forth in the auction procedures established in the Resolution. The current Broker-Dealer for the Series 2000 E-G Bonds, UBS Securities, has notified the Authority of its intention to resign and the Authority is therefore seeking a replacement Broker-Dealer for the Series 2000 E-G Bonds.

#### **Submission of Bids**

In preparing its bid each bidder should provide the following information:

1. **Fee.** The bidder’s proposed fee for serving as the Broker-Dealer in connection with successful auctions for the Series 2000 E-G Bonds (the “Successful Auction Fee”) and a separate proposed fee for serving as the Broker-Dealer in connection with failed auctions for the Series 2000 E-G Bonds (the “Failed Auction Fee”). The Successful Auction Fee and the Failed Auction Fee should each be expressed as a percentage of the principal amount of the Series 2000 E-G Bonds.
2. **Current Auction Rate Securities Portfolio.** The number and par amount of issues for which the bidder currently serves as a broker-dealer and whether the bidder has resigned from any accounts as a broker-dealer for any issuer of auction rate securities and, if so, the reason for such resignation.
3. **Capital Position.** The bidder’s net capital position as of its most recent public filing.
4. **Proposed Modifications to the Broker-Dealer Agreement.** It is the Authority’s strong preference to have Deutsche Bank Trust Company Americas, the Auction Agent for the Series 2000 E-G Bonds, enter into the proposed Broker-Dealer Agreement with the Successful Bidder in substantially the form attached hereto without any material insertions, deletions, modifications or other changes to such document. However, if a bidder’s bid is to be conditioned upon any required material changes or modifications being made to that document, those changes must be specifically noted on the Bid Form where indicated and a blacklined or otherwise marked copy of the form of the Broker-Dealer Agreement attached hereto that

reflects all material insertions, deletions, modifications or other changes required by the bidder must be attached to the Bid Form. Any changes to the form of the Broker-Dealer Agreement which are not included with the Bid Form will not be considered by the Authority after submission of the Bid Form. The Authority makes no representation that it will accept any proposed changes to the Broker-Dealer Agreement, and it may reject a bid based on any proposed changes to the Broker-Dealer Agreement.

5. **Counsel.** If a bidder anticipates engaging an attorney or law firm to represent it in connection with this transaction, the bidder must provide the name of the attorney and/or proposed law firm and, if the bidder will require the Authority to pay its counsel fees and expenses, a not-to-exceed amount to be paid to such attorney or law firm to compensate it for all of its fees and expenses incurred in connection with this transaction.

### **Selection of Successful Bidder**

The position of replacement Broker-Dealer for the Series 2000 E-G Bonds will be awarded to the Successful Bidder, which will be the bidder whose proposed Successful Auction Fee and Failed Auction Fee, when averaged together, plus the counsel fee, if any, to be paid by the Authority, provides the Authority with the lowest cost for broker-dealer services for the Series 2000 E-G Bonds and whose proposed changes to the Broker-Dealer Agreement, if any, are otherwise acceptable to the Authority.

### **Closing of the Transaction**

The Authority would like to instruct the Auction Agent to execute the Broker-Dealer Agreement with the Successful Bidder and have the Successful Bidder begin serving as the Broker-Dealer for the Series 2000 E-G Bonds as soon as possible after the Successful Bidder is determined.

**EXHIBIT A**  
**STOCKHOLDER/PARTNERSHIP DISCLOSURE FORM**

The undersigned firm name of Bidder, in compliance with N.J.S.A. 52:25-24.2, does hereby state and declare the following list of shareholders or partners in this corporation or partnership, as the case may be, with 10 percent or greater interest therein.

<u>Name</u>	<u>Office Held</u>	<u>Address</u>	<u>Number of Shares of Stock, Corporation or % of Interest in Partnership</u>

CERTIFICATION: I, being duly authorized, certify that the information supplied above, is complete and correct to the best of my knowledge. I certify that all of the foregoing statements made by me are true. I am aware that if any of the foregoing statements made by me are willfully false, I am subject to punishment.

Company (Partnership) Name: \_\_\_\_\_ (Signature)

Address: \_\_\_\_\_ PRINT OR TYPE: \_\_\_\_\_ (Name)

\_\_\_\_\_ PRINT OR TYPE: \_\_\_\_\_ (Title)

Date \_\_\_\_\_

9-29-14 JP

## EXHIBIT B

### NEW JERSEY ELECTION LAW ENFORCEMENT COMMISSION REQUIREMENT FOR DISCLOSURE OF POLITICAL CONTRIBUTIONS

*All business entities are advised of their responsibility to file an annual disclosure statement of political contributions with the New Jersey Election Law Enforcement Commission (ELEC) pursuant to N.J.S.A. 19:44A-20.27 if they receive contracts in excess of \$50,000.00 from public entities in a calendar year. Business entities are responsible for determining if filing is necessary. Additional information on this requirement is available from ELEC at 888-313-3532 or at [www.elec.state.nj.us](http://www.elec.state.nj.us)*

### DISCLOSURE OF CONTRIBUTIONS TO NEW JERSEY ELECTION LAW ENFORCEMENT COMMISSION IN ACCORDANCE WITH N.J.S.A. 19:44A-20.27

The undersigned Bidder submitting the bid for the goods/services herein hereby acknowledges its responsibility to file an annual disclosure statement of political contributions with the New Jersey Election Law Enforcement Commission (ELEC) pursuant to N.J.S.A. 19:44A-20.27 if in receipt of contracts in excess of \$50,000.00 from public entities in a calendar year. Bidder further acknowledges that business entities are solely responsible for determining if filing is necessary and that all statements contained in said bid and in this certification are true and correct, and made with full knowledge that the New Jersey Turnpike Authority relies upon the truth of the statements contained in said bid and in statements contained in this certification in awarding the contract at issue.

I certify that I am authorized to make the foregoing statements on behalf of the Bidder and that the foregoing statements made by me are true. I am aware that if any of the foregoing statements made by me are willfully false, I am subject to punishment.

**AUTHORIZED SIGNATURE:**\_\_\_\_\_

Print Name and Title:\_\_\_\_\_

Bidder : \_\_\_\_\_

Date:\_\_\_\_\_

**EXHIBIT C**  
**AFFIRMATIVE ACTION INFORMATION SHEET**

BIDDERS ARE REQUIRED TO SUBMIT ONE OF THE FOLLOWING FORMS RELATING TO COMPLIANCE WITH AFFIRMATIVE ACTION REGULATIONS. **PLEASE COMPLETE AND RETURN THIS FORM AND ANY REQUIRED DOCUMENTS WITH THE BID.**

1. The bidder has a Federal Affirmative Action Plan Approval which consists of a valid letter from the United States Department of Labor Office of Federal Contract Compliance Programs (Good for one year of the date of letter).

YES \_\_\_\_\_ NO \_\_\_\_\_

If Yes, a photocopy of the Letter of Approval is to be submitted with the bid.

**(OR)**

2. The bidder has submitted an Affirmative Action Employee Information Report (Form AA302) to the State Treasurer, and the State Treasurer has approved said report pursuant to N.J.A.C. 17:27-4.6.

YES \_\_\_\_\_ NO \_\_\_\_\_

If Yes, a photocopy of the Certificate of Employee Information Report is to be submitted with the bid. (Expiration Date on Certificate)

Certificate Number \_\_\_\_\_

**(OR)**

3. The bidder has submitted an Employee Information Report (Form AA302) to the State Treasurer, and the State Treasurer has not yet approved said report.

YES \_\_\_\_\_ NO \_\_\_\_\_

If Yes, a photocopy of the Form AA302 is to be submitted with the bid.

If you are the successful bidder and have none of the above, please contact the Purchasing Department at **(732) 750-5300 ext. 8629** within five (5) days of notification of award for an Affirmative Action Employee Information Report (Form AA302). This completed form must be forwarded to the State Treasurer, Division of Public Contracts, Equal Opportunity Compliance Office, with the AUTHORITY's Copy (Pink) returned to the Turnpike Authority Purchasing Department.

The signature below certifies that one of the above forms of Affirmative Action evidence has been submitted, and all information contained above is correct to the best of my knowledge.

Signed \_\_\_\_\_ Date Signed \_\_\_\_\_

Print Name and Title \_\_\_\_\_

Bidder's Company Name \_\_\_\_\_

Address \_\_\_\_\_

Telephone Number \_\_\_\_\_ Fax Number \_\_\_\_\_

**EXHIBIT D**  
**MANDATORY EQUAL EMPLOYMENT OPPORTUNITY LANGUAGE**  
**N.J.S.A. 10:5-31 et seq., N.J.A.C. 17:27**

**GOODS, PROFESSIONAL SERVICES AND GENERAL SERVICE CONTRACTS**

During the performance of this contract, the contractor agrees as follows:

- A. The Contractor or Subcontractor, where applicable, will not discriminate against any employee or applicant for employment because of age, race, creed, color, national origin, ancestry, marital status, affectional or sexual orientation, gender identity or expression, disability, nationality or sex. Except with respect to affectional or sexual orientation and gender identity or expression, the contractor will ensure that equal employment opportunity is afforded to such applicants in recruitment and employment and that employees are treated during employment without regard to their age, race, creed, color, national origin, ancestry, marital status, affectional or sexual orientation, gender identity or expression, disability, nationality or sex. Such equal employment opportunity shall include, but not limited to the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the Public Agency Compliance Officer setting forth provisions of this nondiscrimination clause.
- B. The Contractor or Subcontractor, where applicable will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to age, race, creed, color, national origin, ancestry, marital status, affectional or sexual orientation, gender identity, or expression, disability, nationality or sex.
- C. The Contractor or Subcontractor will send to each labor union with which it has a collective bargaining agreement a notice, to be provided by the agency contracting officer, advising the labor union of the Contractor's commitments under this act and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- D. The Contractor or Subcontractor, where applicable, agrees to comply with any regulations promulgated by the Treasurer pursuant to N.J.S.A. 10:5-31 et seq., as amended and supplemented from time to time, and the Americans with Disabilities Act.
- E. The Contractor or Subcontractor agrees to make good faith efforts to meet targeted county employment goals established in accordance with N.J.A.C. 17:27-5.2.
- F. The Contractor or Subcontractor agrees to inform in writing its appropriate recruitment agencies including, but not limited to, employment agencies, placement bureaus, colleges, universities and labor unions, that it does not discriminate on the basis of age, creed, color, national origin, ancestry, marital status, affectional or sexual orientation, gender identity or expression, disability, nationality or sex, and that it will discontinue the use of any recruitment agency which engages in direct or indirect discriminatory practices.
- G. The Contractor or Subcontractor agrees to revise any of its testing procedures, if necessary, to assure that all personal testing conforms with the principles of job-related testing, as established by the statutes and court decisions of the State of New Jersey and as established by applicable Federal law and applicable Federal court decisions.
- H. In conforming with the targeted employment goals, the Contractor or Subcontractor agrees to review all procedures relating to transfer, upgrading, downgrading and layoff to ensure that all such actions are taken without regard to age, creed, color, national origin, ancestry, marital status, affectional or sexual orientation,

gender identity or expression, disability, nationality or sex, consistent with the statutes and court decisions of the State of New Jersey, and applicable Federal law and applicable Federal court decisions.

- I. The Contractor shall submit to the public agency, after notification of award but prior to execution of a goods and services contract, one of the following three documents:
- i. Letter of Federal Affirmative Action Plan Approval
  - ii. Certificate of Employee Information Report
  - iii. Employee Information Report Form AA302

The Contractor and its Subcontractors shall furnish such reports or other documents to the Division of Public Contracts Equal Employment Opportunity Compliance as may be requested by the Division from time to time in order to carry out the purposes of these regulations, and public agencies shall furnish such information as may be requested by the Division of Public Contracts Equal Employment Opportunity Compliance for conducting a compliance investigation pursuant to **Subchapter 10 of the Administrative Code at N.J.A.C. 17:27**

Submitted by:

**Firm Name:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Print Name:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**Date:** \_\_\_\_\_

## EXHIBIT E

### SMALL/MINORITY/WOMAN OWNED BUSINESS ENTERPRISE

If your firm is registered with the State of New Jersey as a Small Business Enterprise (SBE) and/or certified as a Woman Business Enterprise (WBE) or Minority Business Enterprise (MBE), you must send a copy of the Registration/Certification Form(s) with your quotation.

Please check off the gross receipt category of your business if registered as an SBE

SBE CATEGORY 1 \_\_\_\_\_

\$0- \$500,000

SBE CATEGORY 2 \$500,001 thru \$5,000,000 \_\_\_\_\_

SBE CATEGORY 3 \$5,000,001 thru \$12,000,000 \_\_\_\_\_

NOT APPLICABLE \_\_\_\_\_

SBE Registration # \_\_\_\_\_

Please check below if applicable

W B E \_\_\_\_\_ M B E \_\_\_\_\_

COMPANY \_\_\_\_\_

SIGNATURE \_\_\_\_\_

NAME \_\_\_\_\_

TITLE \_\_\_\_\_

DATE \_\_\_\_\_

## EXHIBIT F

### NOTICE TO ALL BIDDERS SET-OFF FOR STATE TAX

Please be advised that pursuant to P.L. 1995, c. 159, effective January 1, 1996 and notwithstanding any provision of the law to the contrary, whenever any taxpayer, partnership, or S corporation under contract to provide goods or services or construction projects to the State of New Jersey or its agencies or instrumentalities, including the legislative and judicial branches of State government, is entitled to payment for those goods or services or construction projects and at the same time the taxpayer, or the partner or shareholder of that entity, is indebted for any State tax, the Director of the Division of Taxation shall seek to set-off that taxpayer's, partner's or shareholder's share of the payment due to the taxpayer, partnership, or S corporation. The amount of set-off shall not allow for the deduction of any expenses or other deductions which might be attributable to a partner or shareholder subject to set-off under this act. No payment shall be made to the taxpayer, the provider of goods or services, or the contractor or subcontractor of construction projects pending resolution of the indebtedness.

The Director of Division of Taxation shall give notice of the set-off to the taxpayer, the provider of goods or services, or the contractor or subcontractor of construction projects and provide an opportunity for a hearing with thirty (30) days of such notice under the procedures for protests established under N.J.S.A. 54:49-18. No requests for conference, protest or subsequent appeal to the Tax Court from any protest under this section shall stay the collection of the indebtedness. Interest that may be payable by the State pursuant to P.L. 1987, c. 184, N.J.S.A. 52:32-32 et seq. to the taxpayer, the provider of goods or services, or the contractor or subcontractor of construction projects shall be stayed.

"I HAVE BEEN ADVISED OF THIS NOTICE."

COMPANY \_\_\_\_\_

SIGNATURE \_\_\_\_\_

NAME \_\_\_\_\_

TITLE \_\_\_\_\_

DATE \_\_\_\_\_

## EXHIBIT G

### **NEW JERSEY TURNPIKE AUTHORITY DISCLOSURE OF INVESTMENT ACTIVITIES IN IRAN**

NAME OF CONTRACTOR /BIDDER: \_\_\_\_\_

#### **PART 1: CERTIFICATION**

CONTRACTORS/BIDDERS **MUST COMPLETE** PART 1 BY CHECKING **EITHER BOX**.

***FAILURE TO CHECK ONE OF THE BOXES SHALL RENDER THE PROPOSAL NON-RESPONSIVE.***

Pursuant to Public Law 2012, c. 25, any person or entity that submits a bid or proposal or otherwise proposes to enter into or renew a contract must complete the certification below to attest, under penalty of perjury, that neither the person or entity, nor any of its parents, subsidiaries, or affiliates, is identified on the Department of Treasury's Chapter 25 list as a person or entity engaging in investment activities in Iran. The Chapter 25 list follows this certification and can also be found on the State of New Jersey, Department of Treasury, Division of Purchase and Property website at <http://www.state.nj.us/treasury/purchase/pdf/Chapter25List.pdf>. Contractors/Bidders **must** review this list prior to completing the below certification. **FAILURE TO COMPLETE THE CERTIFICATION WILL RENDER A CONTRACTOR'S/BIDDER'S PROPOSAL NON-RESPONSIVE.**

If the Authority finds a person or entity to be in violation of law, it shall take action as may be appropriate and provided by law, rule or contract, including but not limited to, imposing sanctions, seeking compliance, recovering damages, declaring the party in default and seeking debarment or suspension of the party.

#### **PLEASE CHECK THE APPROPRIATE BOX:**

☐ **I certify, pursuant to Public Law 2012, c. 25, that neither the contractor/bidder listed above nor any of the contractor's/bidder's parents, subsidiaries, or affiliates is listed on the N.J. Department of the Treasury's list of entities determined to be engaged in prohibited activities in Iran pursuant to P.L. 2012, c. 25 ("Chapter 25 List"). I further certify that I am the person listed above, or I am an officer or representative of the entity listed above and I am authorized to make this certification on its behalf. **I will skip Part 2 and sign and complete the CERTIFICATION below.****

**OR**

☐ **I am unable to certify as above because the contractor/bidder and/or one or more of its parents, subsidiaries, or affiliates is listed on the Department's Chapter 25 list. I will provide a detailed, accurate and precise description of the activities in Part 2 below and sign and complete the CERTIFICATION below. Failure to provide such will result in the proposal being rendered a non-responsive and appropriate penalties, fines and/or sanctions will be assessed as provided by law.**

**Part 2: PLEASE PROVIDE FURTHER INFORMATION RELATED TO  
INVESTMENT ACTIVITIES IN IRAN**

You must provide a detailed, accurate and precise description of the activities of the bidding person/entity, or one of its parents, subsidiaries or affiliates, engaging in the investment activities in Iran outlined above by completing the requested information below. Please provide thorough answers to each question. If you need to make additional entries, provide the requested information on a separate sheet

Name \_\_\_\_\_ Relationship to Contractor/Bidder \_\_\_\_\_

Description of Activities \_\_\_\_\_

\_\_\_\_\_

Duration of Engagement \_\_\_\_\_ Anticipated Cessation Date \_\_\_\_\_

Contractor/Bidder Contact Name \_\_\_\_\_ Contact Phone Number \_\_\_\_\_

---

**CERTIFICATION**  
**MUST BE SIGNED BY BIDDER**

I being duly sworn upon my oath, hereby represent and state that the foregoing information and any attachments thereto to the best of my knowledge are true and complete. I attest that I am authorized to execute this certification on behalf of the above referenced person or entity. I acknowledge that the New Jersey Turnpike Authority ("Authority") is relying on the information contained herein and thereby acknowledge that I am under a continuing obligation from the date of this certification through the completion of any contracts with the Authority to notify the Authority in writing of any changes to the answers of information contained herein. I acknowledge that I am aware that it is a criminal offense to make a false statement or misrepresentation in this certification, and if I do so, I recognize that I am subject to criminal prosecution under the law and that it will also constitute a material breach of my agreement(s) with the Authority and that the Authority at its option may declare any contract(s) resulting from this certification void and unenforceable.

FULL NAME (print): \_\_\_\_\_ SIGNATURE \_\_\_\_\_

TITLE: \_\_\_\_\_ DATE: \_\_\_\_\_